



Attorney Docket No. 51256

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Shelnut et al.

U.S.S.N.: 10/726,052

Art Unit: 2874

FILED: December 2, 2003

Examiner: Not Yet Assigned

FOR: PHOTOIMAGEABLE WAVEGUIDE COMPOSITION AND WAVEGUIDE
FORMED THEREFROM

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on -

5/14/04

By: 

Deanna M. Rivernider

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto. The documents submitted were not previously cited.

It is respectfully requested that the Examiner carefully consider and make of record each of the documents cited herein. Each of the documents cited were made of record in parent application Serial No. 10/307,904, filed December 2, 2002, from which application the present application claims priority.

II. COPIES

Submitted herewith is a legible copy of (i) each U.S and foreign patent or English abstract of foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

FEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

☐ Enclosed please find a check in the amount of \$_____ for the above indicated fee.

☐ Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.

☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,


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Boston, MA 02205
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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 51256		SERIAL NO. 10/726,052	
				APPLICANT(S): Shelnut et al.			
				FILING DATE: 12/02/2003		ART UNIT: 2874	

UNITED STATES PATENT DOCUMENTS							
EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
	AA	5,200,487	04/06/1993	Lagarde et al.			
	AB	5,378,585	01/03/1995	H. Watanabe			
	AC	5,554,465	09/10/1996	H. Watanabe			
	AD	5,612,170	03/18/1997	Takemura et al.			
	AE	5,672,672	09/30/1997	Amano et al.			
	AF	6,054,253	04/25/2000	Fardad et al.			
	AG	6,087,064	07/11/2000	Lin et al.			
	AH	6,088,492	07/11/2000	Kaneko et al.			
	AI	6,144,795	11/07/2000	Dawes et al.			
	AJ	6,344,305	02/05/2002	Lin et al.			
	AK	6,731,857	05/04/2004	Shelnut et al.			

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN YES/NO
	BA	WO 98/26315	06/18/1998	International			
	BB	0 543 761 A1	05/26/1993	Europe			
	BC	8-304644	11/22/1996	Japan			Yes
	BD	8-259895	10/08/1996	Japan			Yes
	BB	6-172533	06/21/1994	Japan			Yes
	BF	6-256523	09/13/1994	Japan			Yes

Examiner:	Date:
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UNITED STATES PATENT DOCUMENTS							
EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
	BG	31 33039	11/24/2000	Japan			Yes
	BH	10-253845	09/25/1998	Japan			Yes
	BI	10-148729	06/02/1998	Japan			Yes
	BJ	8-327842	12/13/1996	Japan			Yes
	BK	06-172533	06/21/1994	Japan			Abstract
	BL	57-168246	10/16/1982	Japan			Abstract
	BM	58-096654	06/08/1983	Japan			Abstract
	BN	63-279245	11/16/1988	Japan			Abstract
	BQ	04-271306	09/28/1992	Japan			Abstract
	BP	04-366958	12/18/1992	Japan			Abstract
	BQ	2003-3048984A	02/21/2003	Japan			Abstract
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)							
	CA	Bagley et al., "The Processing and Use of Organosilicon Polymers for Photonic Applications"; Polymer Engineering and Science, Mid-September 1989, Vol. 29, No. 17, pp. 1197-1199.					
	CB	Brault et al., "Bilevel Polysiloxane Resist for Ion-Beam and Electron-Beam Lithography"; SPIE Vol. 539 Advances in Resist Technology and Processing II (1985); pp. 70-73.					
Examiner:				Date:			